

Employee Post-Travel Disclosure of Travel Expenses

RECEIVED
SECRETARY OF THE SENATE
PUBLIC RECORDS

Post-Travel Filing Instructions: Complete this form within 30 days of returning from travel. Submit all forms to the **Office of Public Records in 232 Hart Building.**

2018 SEP -6 PM 5:46

In compliance with Rule 35.2(a) and (c), I make the following disclosures with respect to travel expenses that have been or will be reimbursed/paid for me. I also certify that I have attached:

- ☒ The **original** *Employee Pre-Travel Authorization* (Form RE-1), **AND**
☒ A **copy** of the *Private Sponsor Travel Certification Form* with all attachments (itinerary, invitee list, etc.)

Private Sponsor(s) (list all): The Aspen Institute

Travel date(s): August 3-7, 2018

Name of accompanying family member (if any): Molly (Spouse), Sam and Oliver (Children)

Relationship to Traveler: ☐ Spouse ☐ Child

IF THE COST OF LODGING **DID NOT INCREASE** DUE TO THE ACCOMPANYING SPOUSE OR DEPENDENT CHILD, ONLY INCLUDE LODGING COSTS IN EMPLOYEE EXPENSES. (Attach additional pages if necessary.)

Expenses for Employee:

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses (Amount & Description)
<input type="checkbox"/> Good Faith Estimate	481.80	322.77		
<input checked="" type="checkbox"/> Actual Amount				

Expenses for Accompanying Spouse or Dependent Child (if applicable):

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses (Amount & Description)
<input type="checkbox"/> Good Faith Estimate				
<input type="checkbox"/> Actual Amount				

Provide a description of all meetings and events attended. See Senate Rule 35.2(c)(6). (Attach additional pages if necessary.): See attached itinerary

9/5/18
(Date)

Christian Brose
(Printed name of traveler)

CR
(Signature of traveler)

TO BE COMPLETED BY SUPERVISING MEMBER/OFFICER:

I have made a determination that the expenses set out above in connections with travel described in the *Employee Pre-Travel Authorization* form, are necessary transportation, lodging, and related expenses as defined in Rule 35.

9/6/18
(Date)

[Signature]
(Signature of Supervising Senator/Officer)

PRIVATE SPONSOR TRAVEL CERTIFICATION FORM

This form must be completed by any private entity offering to provide travel or reimbursement for travel to Senate Members, officers, or employees (Senate Rule 35, clause 2). Each sponsor of a fact-finding trip must sign the completed form. The trip sponsor(s) must provide a copy of the completed form to each invited Senate traveler, who will then forward it to the Ethics Committee with any other required materials. The trip sponsor(s) should **NOT** submit the form directly to the Ethics Committee. Please consult the accompanying instructions for more detailed definitions and other key information.

The Senate Member, officer, or employee **MUST** also provide a copy of this form, along with the appropriate travel authorization and reimbursement form, to the Office of Public Records (OPR), Room 232 of the Hart Building, within thirty (30) days after the travel is completed.

1. Sponsor(s) of the trip (please list all sponsors): The Aspen Institute (Aspen Strategy Group)
2. Description of the trip: Attend the Aspen Institute's Aspen Strategy Group's annual summer workshop, a non-partisan foreign policy conference.
3. Dates of travel: August 3 - 6, 2018
4. Place of travel: Aspen, CO
5. Name and title of Senate invitees: Christian Brose, Staff Dir., Armed Services Cmte; see attached
6. I *certify* that the trip fits one of the following categories:
 - ☒ (A) The sponsor(s) are not registered lobbyists or agents of a foreign principal **and** do not retain or employ registered lobbyists or agents of a foreign principal **and** no lobbyist or agents of a foreign principal will accompany the Member, officer, or employee *at any point* throughout the trip.
 - OR –
 - ☐ (B) The sponsor or sponsors are not registered lobbyists or agents of a foreign principal, but retain or employ one or more registered lobbyists or agents of a foreign principal and the trip meets the requirements of Senate Rule 35.2(a)(2)(A)(i) or (ii) (*see question 9*).
7. ☒ I *certify* that the trip will not be financed in any part by a registered lobbyist or agent of a foreign principal.
 - AND –
 - ☒ I *certify* that the sponsor or sponsors will not accept funds or in-kind contributions earmarked directly or indirectly for the purpose of financing this specific trip from a registered lobbyist or agent of a foreign principal or from a private entity that retains or employs one or more registered lobbyists or agents of a foreign principal.
8. I *certify* that:
 - ☒ The trip will not in any part be planned, organized, requested, or arranged by a registered lobbyist or agent of a foreign principal except for *de minimis* lobbyist involvement.
 - AND –
 - ☒ The traveler will not be accompanied on the trip by a registered lobbyist or agent of a foreign principal except as provided for by Committee regulations relating to lobbyist accompaniment (*see question 9*).

9. **USE ONLY IF YOU CHECKED QUESTION 6(B)**

I *certify* that if the sponsor or sponsors retain or employ one or more registered lobbyists or agents of a foreign principal, one of the following scenarios applies:

☐ (A) The trip is for attendance or participation in a one-day event (exclusive of travel time and one overnight stay) and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee *on any segment* of the trip.

– OR –

☐ (B) The trip is for attendance or participation in a one-day event (exclusive of travel time and two overnight stays) and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee *on any segment* of the trip (*see questions 6 and 10*).

– OR –

☐ (C) The trip is being sponsored only by an organization or organizations designated under § 501(c)(3) of the Internal Revenue Code of 1986 and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee *at any point* throughout the trip.

10. **USE ONLY IF YOU CHECKED QUESTION 9(B)**

If the trip includes two overnight stays, please explain why the second night is practically required for Senate invitees to participate in the travel:

11. ☒ An itinerary for the trip is attached to this form. I *certify* that the attached itinerary is a detailed (hour-by-hour), complete, and final itinerary for the trip.

12. Briefly describe the role of each sponsor in organizing and conducting the trip:

The Aspen Institute's Aspen Strategy Group (ASG) hosts their summer workshop conference annually each August. The ASG staff plans, organizes and conducts the ASG summer workshop, including its agenda, programming/content, production, reading materials, speaker and attendee logistics.

13. Briefly describe the stated mission of each sponsor and how the purpose of the trip relates to that mission:

The Aspen Institute is an education and policy studies non-profit organization. Its mission is to foster leadership based on enduring values and provide a nonpartisan forum for the exchange of ideas and dealing with critical issues. (See attachment)

14. Briefly describe each sponsor's prior history of sponsoring congressional trips:

The Aspen Institute has over a 40 year history of conducting non-partisan educational forums, which include congressional trips specifically through our Congressional Program. The Aspen Strategy Group has previously hosted members of Congress and Congressional staffers at their summer workshops.

15. Briefly describe the educational activities performed by each sponsor (other than sponsoring congressional trips):

The Aspen Institute holds many educational activities annually, including conferences, roundtables, briefings, and other non-partisan forums on critical issues facing the US and the world. ASG conducts educational forums, conferences, roundtables & briefings on US foreign policy & national security issues.

16. Total Expenses for Each Participant:

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses
<input checked="" type="checkbox"/> Good Faith estimate <input type="checkbox"/> Actual Amounts	\$1,000	\$870 (\$290 per night for three nights)	\$240 (dinners); breakfast and lunch are included in conference meeting package	\$495 (\$165 per day conference meeting package); \$125 materials and branded merchandise (e.g. water bottle, fleece, etc.)

17. State whether a) the trip involves an event that is arranged or organized *without regard* to congressional participation or b) the trip involves an event that is arranged or organized *specifically with regard* to congressional participation:

The trip involves an event that is arranged without regard to congressional participation.

18. Reason for selecting the location of the event or trip

The Aspen Institute's campus and conference center in Aspen is home to the Aspen Strategy Group's workshop annually. It is cost efficient as the Institute's ownership enables us to access reasonable rates.

19. Name and location of hotel or other lodging facility:

The Aspen Meadows Resort, 845 Meadows Road, Aspen, Colorado 81611.

20. Reason(s) for selecting hotel or other lodging facility:

The Aspen Meadows Resort can accommodate our participants' lodging and our conference meeting space for the workshop. It also offers safety and security for attendees.

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(P)
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(P)

21. Describe how the daily expenses for lodging, meals, and other expenses provided to trip participants compares to the maximum per diem rates for official Federal Government travel:

The lodging rate exceeds the per diem rate for Pitkin County, Colorado. The workshop is organized

without regard to congressional participation and all attendees are provided the same lodging, meals,

and materials.

22. Describe the type and class of transportation being provided. Indicate whether coach, business-class or first class transportation will be provided. If first-class fare is being provided, please explain why first-class travel is necessary:

Coach airfare will be provided.

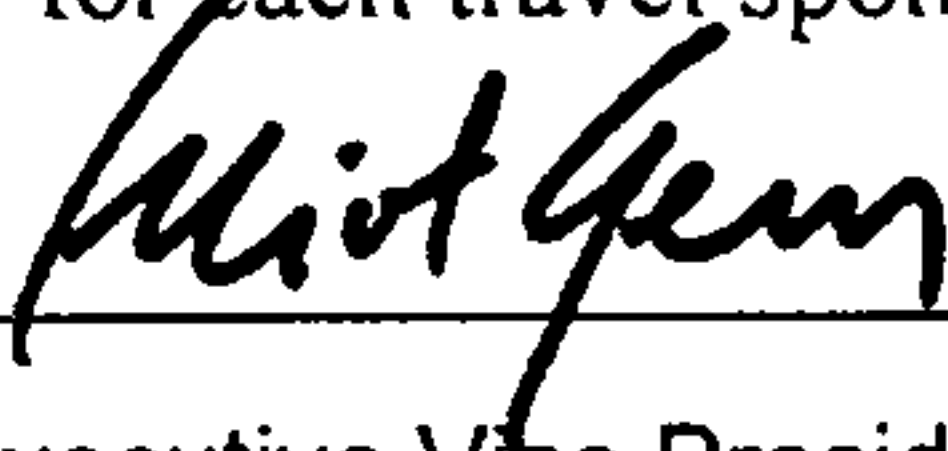
23. ☒ I represent that the travel expenses that will be paid for or reimbursed to Senate invitees do not include expenditures for recreational activities, alcohol, or entertainment (other than entertainment provided to all attendees as an integral part of the event, as permissible under Senate Rule 35).

24. List any entertainment that will be provided to, paid for, or reimbursed to Senate invitees and explain why the entertainment is an integral part of the event:

N/A

25. I hereby *certify* that the information contained herein is true, complete and correct. (You must include the completed signature block below for each travel sponsor.):

Signature of Travel Sponsor:



Name and Title: Elliot Gerson, Executive Vice President, Public and Policy Programs

Name of Organization: The Aspen Institute

Address: 2300 N Street, Suite 700, Washington DC 20037

Telephone Number: 202-736-5859 (Lisa Jones, Deputy General Counsel)

Fax Number: 202-467-0790

E-mail Address: lisa.jones@aspeninstitute.org

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aspen strategy group

Primary Trip Sponsor Senate Form Attachment
The Aspen Institute, Inc. (Aspen Strategy Group)

1. Briefly describe the role of each sponsor in organizing and conducting the trip: The Aspen Institute Aspen Strategy Group (ASG) is the sole organizer and sponsor of the summer workshop conference. The ASG has received general program support and unrestricted funds from the Center for the Study of Democratic Institutions, the McKinsey & Company Inc, the Resnick Foundation and the Rosenkranz Foundation and funds from the Markle Foundation and Stanton Foundation for the ASG summer workshop. The funds were not earmarked for this trip. The organizations providing funding did not play a role in planning the conference or content of the workshop, including but not limited to the attendees, agenda, speakers, or other logistics.

5. Name and title of Senate invitees:

Senator Mark Warner (invited; not confirmed)
Senator Dan Sullivan (invited; not confirmed)
Senator Todd Young (invited; not confirmed)

13. Briefly describe the stated mission of each sponsor and how the purpose of the trip relates to that mission: The Aspen Strategy Group's mission is to provide a bipartisan forum to explore the preeminent foreign policy challenges the United States faces. Its cross-disciplinary and high-level examination of policy strategies for addressing preeminent and emerging topics makes it crucially relevant to the American and global policy communities. This summer workshop is a 3 day off-the-record non-partisan convening that is the flagship offering of the Aspen Strategy Group. It consists of in-depth moderated dialogues where each session is tied to the over-arching foreign policy theme of the workshop.

15. Briefly describe the educational activities performed by each sponsor (other than sponsoring congressional trips): These ASG activities are typically offered to a select group of federal and state policy makers, former government officials, policy experts, academics, and members of the press.

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aspen strategy group

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Chairman Emeritus
Brent Scowcroft

Co-Chairs
Joseph S. Nye, Jr.
Condoleezza Rice

Director
Nicholas Burns

Deputy Director
Jonathon Price

Special Projects Officer
Leah Bitounis

Group Members
Madeleine K. Albright
Graham T. Allison
Chris Brose
Sylvia Burwell
Kurt M. Campbell
Ash Carter
James E. Cartwright
Eliot Cohen
Richard Cooper
John M. Deutch
Thomas E. Donilon
Diana Farrell
Peter D. Feaver
Dianne Feinstein
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Michael Green
Stephen Hadley
John Hamre
Jane Harman
David Ignatius
Leo S. Mackay, Jr.
Anja Manuel
Jessica T. Mathews
David McCormick
Sam Nunn
Meghan O'Sullivan
William J. Perry
Dina Powell
Penny Pritzker
Thomas Pritzker
Jack Reed
Susan Rice
Carla Anne Robbins
Susan C. Schwab
Smita Singh
Anne-Marie Slaughter
James Steinberg
Frances Townsend
Dov S. Zakheim
Philip D. Zelikow
Robert B. Zoellick

May 30, 2018

Mr. Chris Brose
Staff Director
Senate Committee on Armed Services

Dear Chris,

On behalf of Aspen Strategy Group Co-Chairs Joe Nye and Condi Rice, I would like to invite you to our annual Summer Workshop in Aspen, Colorado, from August 3 to 6.

We will open our sessions on Friday evening with a public event followed by our traditional welcome dinner hosted by Senator Dianne Feinstein and Dick Blum. Our sessions will begin Saturday morning and continue through a casual closing dinner on Monday evening, leaving participants free to depart anytime on the morning of August 7. As our intention at the Strategy Group is to host deep dives into our issues over a sustained period of time, we would respectfully ask that you commit to stay for the duration of the workshop.

During the workshop, we will examine the impact that technological change (including A.I., quantum computing, and the emerging digital economy) will have on US national security. Condi, Joe and I believe the workshop will be best used by educating our group on the technological trends while applying the wealth of experience in the room towards how US policy should prepare to respond.

We will cover your airfare to Aspen up to a maximum of \$800 to facilitate your travel. You may arrange your own travel or contact our agent, Ms. Pat Ciazza (patc@worldtravelservice.com) who has access to special fares. The ASG will also cover the cost of your lodging and most of your meals at the Aspen Meadows Resort or the Gant Condominiums during the meeting. The Gant is an alternative lodging option for families, located one mile away from the Aspen Meadows Resort. Its units have two bedrooms, two bathrooms, and a full kitchen. Please note that participants are responsible for the costs of their family members' travel and meals.

As space will be limited, please respond to this invitation as soon as possible by completing our online RSVP form by June 15 at: <https://aspeninstitute.wufoo.com/forms/summer-workshop-2018/>. If you have any questions or concerns, please contact me or ASG Deputy Director Jonathon Price by email (jonathon.price@aspeninstitute.org) or at 202-736-5808.

We look forward to hearing from you and hope to see you in Aspen this August.

Best regards,

Nicholas Burns



aspen strategy group

TECHNOLOGY AND NATIONAL SECURITY
August 3-7, 2018 · Aspen, Colorado

FRIDAY, AUGUST 3 — ARRIVAL DAY

Early Afternoon Check-In – Arrivals will take place between 1:00-3:00 p.m.

4:00 – 5:30 p.m. **Public Event (TBD)**

6:30–9:30 p.m. **Welcome Dinner** – hosted by Dianne Feinstein and Dick Blum
Bear Paw Ranch

SATURDAY, AUGUST 4 — DAY 1

8:00–9:00 a.m. **Ernest R. May Memorial Lecture**
Hines Room Speaker: Ash Carter
(Breakfast is Served)

9:15–9:45 a.m. **Welcome and Setting the Scene**
Booz Allen Hamilton Room Opening Remarks

- JOSEPH NYE & CONDOLEEZZA RICE

Statement of Purpose & Comments on the Agenda

- NICHOLAS BURNS

9:45-1:00 p.m. **Session I: TECTONIC SHIFTS: TECHNOLOGICAL CHANGES SHAPING THE INSTRUMENTS OF AMERICAN POWER**
Tutorial session introducing those technologies central to US military and economic power including artificial intelligence, machine learning, quantum computing
Presenters:

- Richard Danzig (Confirmed)
- Jason Matheny, IARPA (Confirmed)

1:00—2:45 p.m. **Session II: NATIONAL INTELLIGENCE IN FOCUS – ENSURING SUCCESSES**
Working lunch Potential featured Speaker:

- John Brennan (Confirmed)

5:00-6:15 p.m. **Summer Celebration Public Discussion – Tickets Required**
Greenwald Pavilion

SUNDAY, AUGUST 5 – DAY 2

7:00–9:00 a.m. Open breakfast
Meadows Restaurant



9:00–11:00 a.m.
Booz Allen Hamilton Room

Session III: TECHNOLOGY AND THE THREAT TO DEMOCRACIES
How is technology evolving and becoming more threatening—including “Deep fakes”? How do we defend against Russian cyber and disinformation campaigns? What lessons can the US take from Europe on resisting disinformation? What is the role of private companies?

- Potential Paper Authors:
- Eric Rosenbach (Confirmed)
 - Laura Rosenberger (Confirmed)
 - Jared Cohen (Confirmed)

- Potential Panelist:
- Senator Mark Warner (Invited) ¹

11:00–11:15 a.m.

Break

11:15 a.m.–1:00 p.m.

Session IV: DEFENSE IN THE 21ST CENTURY: THE FUTURE CHARACTER OF CONFLICT
How will emerging technologies fundamentally change core defense missions and tasks? How must we respond as innovation is increasingly funded by, and derived from, commercial sources? How should we think about lethal autonomous weapons (LAWS), and the stated desire to always have a person in the loop?

- Potential Paper Authors:
- John Dowdy (Confirmed)
 - Chris Brose (Confirmed)

1:15–2:45 p.m.

Working Lunch:
The Quantum Computing Competition and Encryption
Keynote Speaker:

- General Nakasone (Invited)

Potential Paper Author:

- Doug Beck, Apple (Invited)

2:45–4:00 p.m.
Booz Allen Hamilton Room

Voluntary Session: TECHNOLOGICAL CHANGE AND THE FUTURE OF WORK
How will the potential mass displacement of “traditional jobs” affect politics, trade, and investment?

7:00–9:30 p.m.
Art Barn, Rosenkranz Home
Red Mountain

ASG Dinner
Hosted by Robert Rosenkranz and Alexandra Monroe
PROGRAM TBD

MONDAY, AUGUST 6 — DAY 3

7:00–8:00 a.m.
Meadows Restaurant

Open breakfast

8:00a.m. – 12:00p.m.	Individual discussions: Participants meet individually or in small groups with speakers and moderators for in-depth discussion of ideas raised in the earlier sessions.
12:00p.m. – 1:00 p.m.	Lunch remarks by Eric Schmidt (confirmed to attend; exact time TBD)
1:00–3:00 p.m. Booz Allen Hamilton Room	<p>Session V: CHINA: THE TECH REVOLUTION AND THE BALANCE OF POWER <i>What are Chinese goals and what is the risk they will set the norms and standards for these technologies? How do we respond to China without undercutting our openness and values? How should the US manage the IP challenges and the role of CFIUS in reviewing sensitive deals.</i></p> <p>Potential Paper Author:</p> <ul style="list-style-type: none"> • John Deutch (Confirmed) • Amy Webb (Invited) <p>Commenter:</p> <ul style="list-style-type: none"> • Tom Donilon
3:00-3:15 p.m.	Break
3:15–5:00 p.m. Booz Allen Hamilton Room	<p>Session VI: MAINTAINING AMERICA’S TECHNOLOGICAL EDGE <i>How can we secure and foster the sources of America’s innovation that live outside the government--corporate entities, universities, and labs? Is the government adequately investing in key technologies and properly configured to adapt to the pace of technological change?</i></p> <p>Potential Paper Authors:</p> <ul style="list-style-type: none"> • Walter Isaacson (Confirmed) • Reid Hoffman (Invited)
5:00–5:30 p.m. Booz Allen Hamilton Room	<p>Conclusions and Recommendations Led by Joseph Nye, Condoleezza Rice, and Nicholas Burns</p>
7:30 p.m. 335 Glen Eagle Dr.	ASG Reception – hosted by Leah Zell

TUESDAY, AUGUST 7

DEPARTURES

EMPLOYEE PRE-TRAVEL AUTHORIZATION

Date/Time Stamp:

Pre-Travel Filing Instructions: Complete and submit this form at least 30 days prior to the travel departure date to the **Select Committee on Ethics in SH-220**. Incomplete and late travel submissions will **not** be considered or approved. This form **must** be typed and is available as a fillable PDF on the Committee's website at ethics.senate.gov. Retain a copy of your entire pre-travel submission for your required post-travel disclosure.

Name of Traveler: Christian Brose

Employing Office/Committee: Senate Armed Services Committee

Private Sponsor(s) (list all): The Aspen Institute

Travel date(s): August 3-7, 2018

*Note: If you plan to extend the trip for any reason you **must** notify the Committee.*

Destination(s): Aspen, Colorado

Explain how this trip is specifically connected to the traveler's official or representational duties:

The Aspen Institute Conference will involve discussions of technology and U.S. National Security, and will feature current and former U.S. Government Officials. As Staff Director of the Senate Armed Services Committee, this conference will advance the Committee's ability to conduct oversight on technological issues at the Department of Defense, as well as gain information necessary for legislative reforms to better position the U.S. government to maintain competitiveness against adversaries.

Name of accompanying family member (if any): Molly (Spouse), Sam and Oliver (children)

Relationship to Employee: ☒ Spouse ☒ Child

I certify that the information contained in this form is true, complete and correct to the best of my knowledge:

7/2/18
(Date)

CR
(Signature of Employee)

TO BE COMPLETED BY SUPERVISING SENATOR/OFFICER (President of the Senate, Secretary of the Senate, Sergeant at Arms, Secretary for the Majority, Secretary for the Minority, and Chaplain):

I, Senator John McCain hereby authorize Christian Brose
(Print Senator's/Officer's Name) (Print Traveler's Name)

an employee under my direct supervision, to accept payment or reimbursement for necessary transportation, lodging, and related expenses for travel to the event described above. I have determined that this travel is in connection with his or her duties as a Senate employee or an officeholder, and will not create the appearance that he or she is using public office for private gain.

I have also determined that the attendance of the employee's spouse or child is appropriate to assist in the representation of the Senate. (signify "yes" by checking box) ☐

7/2/18
(Date)

(Signature of Supervising Senator/Officer)